

D115 Rec'd PCT/PTO 20 JUL 2004

FORM PTO-1390US DEPARTMENT OF COMMERCE REV. 5-93PATENT AND TRADEMARK OFFICE		ATTORNEYS DOCKET NUMBER 09792486-0149
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/502038</b>
INTERNATIONAL APPLICATION NO. PCT/JP03/14848	INTERNATIONAL FILING DATE November 20, 2003	PRIORITY DATE CLAIMED November 20, 2002
TITLE OF INVENTION "METHOD OF MAKING MASTER FOR MANUFACTURING OPTICAL DISC AND METHOD OF MANUFACTURING OPTICAL DISC"		
APPLICANT(S) FOR DO/EO/US Shinichi Kai, Akira Kouchiyama, Katsuhisa Aratani, Kenzo Nakagawa and Yoshihiro Takemoto		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: 1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay. 4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date and the U.S. has been elected.  5. <input checked="" type="checkbox"/> A copy of International Application (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).  7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 34. a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made.  8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)) (attached at back of English translation of application)  9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (Unexecuted)  10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)) - Forms 338 and 409. Items 11. to 16. below concern other document(s) or information included: 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report).  12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.  13. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.  14. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.  15. <input type="checkbox"/> A substitute specification.  16. <input type="checkbox"/> A change of power of attorney and/or address letter.  17. <input checked="" type="checkbox"/> Other items or information: a. <input checked="" type="checkbox"/> Submission of Corrected Drawings (12 sheets of drawings - Figs. 1A-13J) b. <input checked="" type="checkbox"/> EXPRESS MAIL #EV433244854US c. <input checked="" type="checkbox"/> Forms 101 f. <input checked="" type="checkbox"/> Form 2038		

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.55)

10/502038

INTERNATIONAL APPLICATION NO.  
PCT/JP03/14848ATTORNEY'S DOCKET NUMBER  
09792486-015217. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Neither international preliminary examination fee (37 CFR §1.482)  
Nor international search fee (37 CFR §1.445(a)(2)) paid to USPTO  
And International Search Report not prepared by the EPO or JPO \$1080.00

International preliminary examination fee (37 C.F.R. §1.482) not paid to  
USPTO but International Search Report prepared by the EPO or JPO \$ 920.00

International Preliminary examinaton fee (37 CFR §1.482) not paid to USPTO  
But international search fee (37 CFR §1.445(a)(2)) paid to USPTO \$ 770.00

International preliminary examination fee (37 C.F.R. §1.482) paid to USPTO  
But all claims did not satisfy provisions of PCT Article 33(1)(4) \$ 730.00

International preliminary examination fee(37 CFR §1.482) paid to USPTO  
and all claims satisfied provisions of PCT Article 33(1)(4) \$ 100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

CALCULATIONS

PTO USE ONLY

\$ 920.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from  
the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims

Number Filed

Number  
Extra

Rate

Total Claims

8 - 20 =

X \$ 18.00

\$

Independent Claims

2 - 3 =

X \$ 86.00

\$

Multiple Dependent Claims

\$280.00 +

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$ 920.00

☐ Applicant claims small entity status. See 37 CFR §1.27. The fees indicated above are reduced  
by 1/2.

\$

**SUBTOTAL =**

\$ 920.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 CFR 1.492(f)).

\$

**TOTAL NATIONAL FEE =**

\$ 920.00

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h). The assignment must be  
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property +

\$

**TOTAL FEES ENCLOSED =**

\$ 920.00

Amount to be  
refunded

\$

charged

\$ 920.00

a. ☐ A check in the amount of \$\_\_\_ to cover the above fees is enclosed.b. ☒ Please charge attorney's firm American Express Account No. 378571697401002 in the amount of \$ 920.00  
to cover the above fees. PTO Form 2038 is enclosed for that purpose.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 19-3140. A duplicate copy of this sheet is enclosed.NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be  
filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Sonnenschein, Nath & Rosenthal LLP  
P.O. Box 061080  
Wacker Drive Station - Sears Tower  
Chicago, Illinois 60606-1080  
Customer No. 26263  
Telephone 312/876-8000

SIGNATURE

David R. Metzger

NAME

32,919

Registration Number

Date: July 20, 2004

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

"Express Mail" Mailing Label Number: EV433244854US

Date of Deposit: July 20, 2004

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

National U.S. phase application based on PCT application No. PCT/JP02/13422 including the following:

Applicant(s): Shinichi Kai, Akira Kouchiyama, Katsuhisa Aratani, Kenzo Nakagawa and Yoshihiro Takemoto

Attorney Docket No. 09792486-0149

\$920.00 filing fee (8 claims - 2 independent) (charged to AMEX account)

Unexecuted Declaration

Preliminary Amendment

Submission of Corrected Drawings (12 sheets - Fig. 1A-13J)

Information Disclosure Statement, PTO Form 1499 and references cited therein

Forms 101

Form 2038

Request

Return postcard

  
\_\_\_\_\_  
Signature of Person Mailing Application and Fees